

03/20/00

SUBJ: SUSPECTED UNAPPROVED PARTS PROGRAM

1. PURPOSE. This change :

a. Transmits a revised FAA Form 8120-11, Suspected Unapproved Parts Notification, dated 11/99, replacing the previous edition, dated 12/96. The revised form provides additional information for the reporter to select from, along with a continuation sheet.

b. Implements a new form, FAA Form 8120-13, Suspected Unapproved Part (SUP) Case Closure Guide, dated 02/02/2000. This form replaces the previous Case Closure Guide, contained in Appendix 4, which was not an FAA form.

2. DISTRIBUTION. This order is distributed to all Assistant and Associate Administrators; to the Office of the Chief Counsel; the Assistant Chief Counsel for Regulations; Assistant Chief Counsel for Enforcement, and Assistant Chief Counsel for each region; to all Washington Headquarters Division, Branch, and Section levels of the Flight Standards Service and Aircraft Certification Service; all Flight Standards District and Field Offices, Aircraft Evaluation Groups, Aircraft Certification Offices, Aircraft Certification Field Offices, and Manufacturing Inspection District and Satellite Offices; to the Branch and Section levels in the Regional Flight Standards Divisions and Aircraft Certification Directorates; the Branch levels of all Regional Civil Aviation Security Divisions and Field Offices; the Division, Branch, and Section levels of the Office of Aviation Safety; the Office of Accident Investigation and the Office of Aviation System Standards; to the Flight Inspection and Procedures, Aircraft Certification, and Airworthiness Branches at the FAA Academy; to the Brussels Aircraft Certification and Flight Standards Divisions, the Department of Transportation Office of the Inspector General (DOT OIG); and AVR-20. Distribution is also made to addresses on special distribution list FDR-1.

3. DISPOSITION OF TRANSMITTAL. After filing the attached pages, this change transmittal should be retained.

PAGE CONTROL CHART

| REMOVE PAGES | DATED | INSERT PAGES | DATED |
|--------------|---------|--------------|----------|
| Appendix 1 | 4/16/97 | Appendix 1 | 03/20/00 |
| Appendix 4 | 4/16/97 | Appendix 4 | 03/20/00 |

/S/

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Manager, Suspected Unapproved Parts
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4/16/97**SUBJ: SUSPECTED UNAPPROVED PARTS PROGRAM**

SECTION 1. GENERAL

1. PURPOSE. This order establishes procedures applicable to all Federal Aviation Administration (FAA) personnel involved in coordinating, investigating, and processing suspected unapproved part (SUP) notifications. It further outlines the responsibilities of the Suspected Unapproved Parts Program Office (AVR-20), Aircraft Certification Service (AIR), and Flight Standard Service (AFS).

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3. CANCELLATION. Order 8120.10, Suspected Unapproved Parts Program, dated September 28, 1993, is canceled.

4. EXPLANATION OF CHANGES. This revision:

a. Implements revised FAA Form 8120-11, Suspected Unapproved Parts Notification, and Form 8120-12, Suspected Unapproved Parts (SUP) Status Report.

Distribution: A-W-1; A-WX(GC)-2; A-WX(CS)-3;
A-W (IR/FS/SU/SF/AI/VN)-4; A-X(FS/CD/CS)-4;
A-FFS-O/FAC-0/FCS-1; AMA-210/220/250; FDR-1

Initiated By: AVR-20

b. Provides a more detailed process to follow when investigating SUP notifications and filing the necessary forms and reports.

c. Redefines the means of identifying the Part Criticality of a SUP along with the associated reporting time frames.

5. BACKGROUND. Title 14 of the Code of Federal Regulations (CFR) includes a framework of rules governing the design, manufacture, operation, maintenance, and alteration of aviation products and parts thereof. These regulations, reinforced with surveillance and enforcement activities by FAA, are key elements in maintaining a high level of safety in the United States air transportation system. Issues surrounding aircraft parts suspected of not meeting regulatory requirements induced the FAA to convene a Task Force to review the issues, and devise a SUP Program Plan. As a result of the Task Force's recommendations, the SUP Program Office was established on November 13, 1995. This office is tasked with promoting a cohesive, consistent, aggressive approach to SUP throughout FAA, with a focus on improving the standardization and integration of policy, training, and technical information. Further information relevant to the SUP Program can be found in the Task Force's report entitled Suspected "Unapproved Parts" Program Plan, dated October 6, 1995.

6. DEFINITIONS. Notwithstanding specific definitions in Title 14, the following definitions are applicable in this order:

a. **Action Office.** An Action Office is an FAA office that has been designated to investigate a SUP notification.

b. **Aircraft Certification Directorate SUP Coordinator.** A specialist assigned by the manager of each Aircraft Certification Directorate responsible for coordinating all SUP related issues associated within that directorate.

c. **Aircraft Certification Office (ACO).** The AIR office responsible for the review and approval of type design data.

d. **"Approved Parts".** The term "approved parts" in quotations is used throughout this order in a colloquial sense. The term "approved parts" in quotations is not synonymous with "a part that has received a formal FAA approval." "Approved parts" are identified as parts which have met one of the following requirements:

(1) Produced in accordance with a Parts Manufacturer Approval (PMA) issued under part 21, Subpart K.

(2) Produced in accordance with a Technical Standard Order (TSO) Authorization issued by the Administrator under part 21, Subpart O.

(3) Produced during the TC application process under part 21, Subpart B, or the Supplemental Type Certificate (STC) application process under part 21, Subpart E, prior to the issuance of the certificate; subsequently determined to conform to the approved TC or STC data (refer to § 21.303(b)(1)).

(4) Produced under a TC without a separate production authorization, and an Approved Production Inspection System (APIS) in accordance with part 21, Subpart F.

(5) Produced under a Production Certificate (PC) in accordance with part 21, Subpart G.

(6) Produced in accordance with an approval under a bilateral airworthiness agreement under part 21, Subpart N.

(7) Approved in any other manner acceptable to the Administrator (§ 21.305(d)).

Note: Parts which have been inspected and/or tested by persons authorized to determine conformity to FAA-approved design data may also be found to be acceptable for installation. Military surplus parts (defined as parts which have been originally released as surplus by the military, even if subsequently resold by manufacturers, owners/operators, repair facilities, or any other suppliers of parts), may fall under these conditions. AC 20-62 should be referred to for information regarding eligibility and traceability of replacement parts.

(8) Produced as standard parts *that conform* to established industry or U.S. specifications. (Refer to par. 6q for definition.)

(9) Produced by an owner or operator for the purpose of maintaining or altering their own product.

(10) Manufactured by a repair station or other authorized person during alteration in accordance with an STC or Field Approval, (which is not for sale as a separate part), in accordance with part 43 and Order 8000.50, Repair Station Production of Replacement or Modification Parts.

(11) Fabricated by a qualified person in the course of a repair for the purpose of returning a product to service (which is not for sale as a separate part) under part 43.

e. Aviation Safety Hotline. A toll-free telephone number (1-800-255-1111) used to report unsafe practices that affect aviation safety, including the manufacture, distribution, or use of a SUP. The caller's identification will be kept confidential, if requested.

f. Counterfeit Part. A part made or altered so as to imitate or resemble an "approved part" without authority or right, and with the intent to mislead or defraud by passing the imitation as original or genuine.

g. Distributors. Brokers, dealers, resellers, or other persons or agencies engaged in the sale of parts for installation in TC aircraft, aircraft engines, propellers, and in appliances.

h. FAA Form 8120-11, Suspected Unapproved Parts Notification. A standard form used to notify the FAA when a SUP has been detected. A sample of the form and instructions for its completion are included in appendix 1. This form can also be found in AC 21-29, Detecting and Reporting Suspected Unapproved Parts.

i. FAA Form 8120-12, Suspected Unapproved Parts Status Report. A standard form used to record and report the details and status of a SUP investigation. A sample of the form and instructions for its completion are included in appendix 2.

j. Field Notification (FN). A published notification transmitted to individuals or groups within the aviation community concerning unapproved part(s).

k. Flight Standards (FS) Regional SUP Coordinator. A specialist assigned by each Regional Division Manager responsible for coordinating all SUP related issues associated with FS in that region.

l. Law Enforcement Authority (LEA). The Office of Civil Aviation Security Operations, DOT OIG, Federal Bureau of Investigation (FBI), Defense Criminal Investigation Service (DCIS), U.S. Customs Service, or other local, state, or Federal entities having authority to enforce pertinent laws.

m. Official File. A file established and maintained by AVR-20 which serves as the “master” file for each SUP investigation. The file is identified by a number assigned by AVR-20 which is used as the basis for identification and control. The file contains the required forms, letters, and correspondence relative to the investigation, and copies of any documents reflecting the outcome. The Official File may be used to support Freedom of Information Act (FOIA) requests and various decisions made relative to the SUP.

n. Part Criticality. The category assigned to a SUP based on the effect the part has on the safe operation of the aircraft.

(1) Category 1. The part is one whose intended use indicates that the consequences of its failure, considered separately and in relation to other systems, could reduce safety margins, degrade performance, or cause a loss in the capability to conduct certain flight operations so as to prevent the continued safe flight and landing of the aircraft. Examples of such conditions are those which may require the use of the “Emergency Procedures” portion of the flight manual, aircraft placards, or TC data sheets, as applicable.

(2) Category 2. The part is one whose intended use indicates that the consequences of its failure, considered separately and in relation to other systems, would not prevent the continued safe flight and landing of the aircraft, but may reduce the capability of the aircraft or the ability of the crew, by increasing the workload, for example, to cope with adverse operating conditions or subsequent failures.

(3) Category 3. The part is one whose intended use indicates that the consequences of its failure, considered separately and in relation to other systems, would not cause a departure from normal operating procedures.

Notes: The category is initially assigned by AVR-20 and reflected on the FAA Form 8120-12. The ACO determines the actual Part Criticality Category and may upgrade or downgrade the initial category assigned by AVR-20. If a part could be used in more than one application and the criticality would differ in the applications, the application that results in the greatest safety risk is the one that governs the determination of the Part Criticality Category.

o. Part(s) Not Acceptable For Installation A part which is not acceptable for installation on an FAA TC product.

p. Reporter. Any person who furnishes information regarding a SUP.

q. Standard Part. A part manufactured in complete compliance with an established industry or U.S. government specification which includes design, manufacturing, and uniform identification requirements. The specification must include all information necessary to produce and conform the part and be published so that any party may manufacture the part. Examples include but are not limited to National Aerospace Standards (NAS), Army-Navy Aeronautical Standards (AN), Society of Automotive Engineers (SAE), SAE Aerospace Standards (AS), and Military Standards (MS).

r. Supplier. Any person who furnishes aircraft parts or related services at any tier, to the producer of a product or part thereof.

s. Suspected Unapproved Part. A part, component, or material that is suspected of not meeting the requirements of an “approved part.” A part that, for any reason, a person believes is not approved. Reasons may include findings such as different finish, size, color, improper (or lack of) identification, incomplete or altered paperwork, or any other questionable indication.

Note: An “approved part” which is used in the wrong application should be addressed as a potential part 43 violation, however it is not considered to be a SUP.

t. Unapproved Part. A part that does not meet the requirements of an “approved part” (refer to definition of “approved part” in paragraph 6d). This term also includes parts which have been improperly returned to service (contrary to parts 43 or 145) and/or parts which may fall under one or more of the following categories:

(1) Parts shipped directly to the user by a manufacturer, supplier, or distributor, where the parts were not produced under the authority of an FAA production approval for the part, such as production overruns where the parts did not pass through an approved quality system.

(2) New parts which have passed through a Production Approval Holder’s (PAH) quality system which are found not to conform to the approved design/data.

(3) Parts that have been maintained, rebuilt, altered, overhauled, or approved for return to service by persons or facilities not authorized to perform such services under parts 43 and/or 145.

(4) Parts that have been maintained, rebuilt, altered, overhauled, or approved for return to service which are subsequently found not to conform to approved data.

(5) Counterfeit parts.

7. AUTHORITY TO CHANGE THIS ORDER. The Deputy Associate Administrator for Regulation and Certification reserves the authority to approve changes which delegate authority or assign responsibility. The Manager, AVR-20, may issue changes to this order, as necessary, to implement and manage the SUP Program. Comments or proposed changes to this publication should be directed to AVR-20 on FAA Form 1320-19, Directive Feedback Information, located on the last page of this order.

8. FORMS AND REPORTS. Forms and reports used for the SUP Program outlined in this order are contained in the appendices and may be reproduced locally.

9. RELATED PUBLICATIONS. Current copies of the following publications should be referred to for additional information.

- a. AC 20-62, Eligibility, Quality, and Identification of Approved Aeronautical Replacement Parts.
- b. AC 21-29, Detecting and Reporting Suspected Unapproved Parts.
- c. AC 21-38, Disposition of Unsalvageable Aircraft Parts and Materials.
- d. AC 23.1309, Equipment, Systems, and Installations in Part 23 Aircraft.
- e. AC 25.1309, System Design Analysis.
- f. FAA Order 1200.23, Public Availability of Information.
- g. FAA Order 2150.3, Compliance and Enforcement Program.
- h. FAA Order 8000.50, Repair Station Production of Replacement or Modification Parts.
- i. FAA Order 8120.2, Production Approval and Surveillance Procedures.
- j. FAA Order 8120.11, Disposition of Scrap or Salvageable Aircraft Parts and Materials.
- k. FAA Order 8300.10, Airworthiness Inspectors Handbook.

10. PROGRAM OBJECTIVES. In accordance with the Administrator's Unapproved Parts Policy, the SUP Program identifies the following objectives for the FAA:

- a. Conducting aggressive and consistent surveillance for suspected unapproved parts.
- b. Investigating thoroughly and expeditiously when suspected unapproved parts are reported or detected.
- c. Responding with rapid and uniform enforcement when unapproved parts are found.
- d. Providing a sound regulatory basis and associated guidance for FAA personnel and the public.
- e. Coordinating FAA efforts with law enforcement agencies engaged in the prosecution of criminal activity.

11. RESPONSIBILITIES.

a. **The Suspected Unapproved Parts Program Office, AVR-20.** As the program's focal point, AVR-20 is responsible for managing the SUP Program and provides a single point of contact to parties seeking information and guidance concerning the SUP Program or related issues.

(1) Originates, coordinates, conducts, and/or supports studies resulting in the development of guidance, policy, regulations and standards intended to prevent unapproved parts from entering the United States aviation system and being installed on TC products. Additionally, proposes and substantiates new or revised standards to reflect the necessary level of safety as required.

(2) Reviews related policy and guidance to ensure the SUP Program goals are met.

(3) Identifies training needs and reviews training proposals to ensure the goals of the program are met.

(4) Coordinates the development and deployment of automation support for the SUP Program.

(5) Reviews initial notification of SUP and determines if adequate information is available to open an investigation. Contacts reporter for supplemental information, as required.

(6) Assigns SUP investigation number and initiates investigation through the SUP Coordinator.

(7) Establishes and maintains the Official File.

(8) Notifies identified LEA.

(9) Provides training, technical advice and assistance to the FAA work force, industry, and LEA requesting or requiring technical information or guidance on policy and regulations.

(10) Coordinates, reviews, and forwards draft FN (received from the Action Offices) for publishing.

(11) Coordinates necessary interim responses through the SUP Coordinator, and processes responses as required.

(12) Provides necessary response/feedback to the reporter.

(13) Reviews completed SUP investigation reports, closes the investigations when all parties (including LEA) have indicated they have concluded their portion of the investigation, and provides notification of closed status to SUP Coordinator. AVR-20 may allow investigations to remain open after FAA has completed its investigation, if closing the case could hinder the investigation of another party.

(14) Analyzes investigation data and provides reports/feedback to parties involved in SUP investigations, in addition to management summaries.

b. Aircraft Certification Service and Flight Standards Service. Aircraft Certification Service and Flight Standards Service Directors are responsible for ensuring the SUP Program is implemented in accordance with this order. Aircraft Certification Directorate Managers and Regional Flight Standards Division Managers are ultimately responsible for managing the SUP activities within their organization, however, the management duties may be delegated to the assigned SUP Coordinators.

(1) Identify an individual within the organization to serve as a point of contact (SUP Coordinator).

(2) Ensure that all SUP issues are addressed in a manner consistent with this order.

(a) Assign SUP investigations to the appropriate Action Offices.

(b) Monitor the progress, coordinate resources, report the investigation status as required, and provide support to other Action Offices upon request.

(c) Coordinate requests for assistance and support with managers in other Directorates or Regions for investigations requiring a cross utilization of technical resources.

(d) Ensure SUP investigations involving non-certificated entities are investigated by the service having responsibility of the geographic area. AIR will have primary responsibility for all investigations involving new/unused parts, and AFS will have primary responsibility for continued airworthiness issues as they pertain to AFS functions.

(3) Ensure the investigation file is forwarded to AVR-20 upon request or upon case closure for inclusion in the Official File. Copies may be maintained for office records, however, it is imperative that the Official File at AVR-20 contains all the data.

(4) Establish and maintain a working relationship with local LEA to coordinate SUP investigations as required.

c. SUP Coordinators. As the focal point for SUP investigations within their Directorates and Regions, SUP Coordinators will serve as the liaison between the Action Offices, LEA, appropriate management, and AVR-20, through the timely review and processing of information relating to SUP investigations.

(1) Coordinate investigations and necessary support with LEA, and other AIR and AFS offices as required. Notify AVR-20 of all investigation transfers via FAA Form 8120-12.

(2) Request investigation support from other Regions and Directorates (see Transferring Investigations, paragraph 15(e) for additional information).

(3) Provide status update to AVR-20 on all open SUP investigations every 60 days, unless prevailing circumstances warrant more frequent updates.

(4) Coordinate, review, and forward draft FN to AVR-20.

(5) Review investigation files for completeness and accuracy pending closure. (Appendix 4 includes a guide for preparing the reports for closure.)

(6) Ensure FAA Managers and AVR-20 are kept informed of all SUP related investigations involving criminal activity.

d. Action Offices. Action Offices shall conduct investigations, provide status updates to the SUP Coordinators, and file the specified reports in accordance with this order.

(1) Review the assigned category of the Part Criticality and initiate the investigation to validate actual part(s) and part number(s) affected. Forward FAA Form 8120-12 and transmittal memorandum to the ACO which is responsible for the design approval of the part and request a determination of actual Part Criticality.

(2) Perform investigation, provide updates, and forward reports in accordance with the guidance and time frames contained in this order.

(a) Conduct all investigations in accordance with FAA Order 2150.3, Compliance and Enforcement Program.

(b) Complete FAA Form 8120-12 to reflect current and accurate information (as information becomes available) and forward to SUP Coordinator. Provide a status update no later than every 60 days for ongoing investigations.

(3) Contact SUP Coordinator when the investigations lead to other Regions and/or Services within the FAA and coordinate investigations with those offices.

(4) Contact the appropriate ACO to propose that an Airworthiness Directive (AD) be considered, or seek assistance in preparing a draft FN as necessary.

(5) Coordinate with LEA after initial contact is made by SUP Coordinator.

e. Aircraft Certification Offices. Aircraft Certification Offices shall work in conjunction with the Action Offices to provide the necessary technical support.

(1) Evaluate the subject SUP as requested by the Action Office to determine the actual Part Criticality Category. Provide response to the Action Office within 30 calendar days upon receipt of the request.

(2) Provide technical input/feedback for FN if required, and inform AVR-20 of any AD resulting from an unapproved part.

SECTION 2. INITIAL NOTIFICATION

12. SUP REPORTING. A SUP can be detected and/or reported through various means such as the submission of an FAA Form 8120-11, reports or notifications generated by the Aviation Safety Hotline, complaints, accident or incident investigations, surveillance activities, or Service Difficulty Reports. When FAA personnel discover or are made aware of SUP, they shall ensure it is reported on FAA Form 8120-11, and forwarded to AVR-20 in accordance with this order. AVR-20 shall evaluate all SUP notifications, and initiate the appropriate action.

a. Solicit Necessary Information. FAA personnel should have an FAA Form 8120-11 available to facilitate gathering information in the event they become aware of a SUP in the course of routine work functions, or receive information from a reporter not willing or able to complete the form.

(1) Upon receipt of information identifying a SUP, FAA personnel shall ensure an FAA Form 8120-11 is completed, and forward it to AVR-20.

(2) If a reporter wishes to remain confidential, ensure this is reflected on the form. All details relevant to the SUP notification should be treated with confidentiality as the release of any of the information could reveal the reporter's identity. The reporter should be informed that information provided for law or regulatory enforcement purposes will be protected under FOIA, to the greatest extent allowed.

b. Receipt of Parts. FAA personnel should encourage the voluntary surrender of SUP if it would be beneficial to the investigation and/or enforcement proceedings. FAA Form 8020-2, Aircraft/Parts Identification and Release, and FAA Form 1600-70, Chain of Custody Receipt, should be completed in accordance with the procedures outlined in Order 8020.11, Aircraft Accident and Incident Notification, Investigation, and Reporting, for all parts received.

c. Responding to an Aviation Safety Hotline Complaint. If an Action Office is tasked with investigating a Hotline complaint which identifies a SUP, response and reporting procedures outlined in Order 8000.73, Aviation Safety Hotline Program, shall be followed. After confirming the information (verify the allegation), the inspector shall complete FAA Form 8120-11, and forward it to AVR-20. The Hotline complaint number shall be recorded in the "Description of Event" section of the form.

d. FAA Form 8120-11 Processing. Upon receipt of an FAA Form 8120-11, AVR-20 will evaluate the information and determine the next course of action.

(1) If sufficient information is not provided, AVR-20 will contact the reporter (if known) by phone or letter and request additional information. If information to initiate a SUP investigation cannot be obtained, the allegation will be assigned a SUP case number and filed by AVR-20.

(2) If the preliminary review conducted by AVR-20 discloses the part under suspicion does not fall under the definition of SUP, the allegation will be assigned a SUP case number and filed by AVR-20.

(3) If an investigation is warranted, AVR-20 will assign a SUP case number, generate an FAA Form 8120-12, and create the Official File. If the notification received by AVR-20 is additional information which can be added to an open SUP investigation, AVR-20 will issue an amended FAA Form 8120-12 under the existing case number.

e. FAA Form 8120-12 Processing. The data from FAA Form 8120-11 will serve as the preliminary information to be entered onto FAA Form 8120-12. Additionally, AVR-20 shall initially assign the Part Criticality Category based on the information provided.

(1) After determining the appropriate Directorate and/or Region, AVR-20 will forward FAA Form 8120-12 along with a transmittal memorandum to the appropriate SUP Coordinator.

(2) AVR-20 will additionally forward a copy of FAA Form 8120-12 to the Office of Civil Aviation Security Operations, the DOT OIG Investigations Branch, the FBI, the DCIS, and the U. S. Customs Service.

Note: LEA conducting concurrent investigations have agreed to contact AVR-20 and distribute the necessary information to their field offices, however this does not relieve the FAA Action Office or SUP Coordinator of the responsibility to communicate with the local LEA representatives. Government agencies other than those listed above shall be referred to AVR-20, if requesting information regarding a SUP investigation.

(3) At the time FAA Form 8120-12 is initiated, AVR-20 shall establish the Official File. Action Offices conducting the investigation should also maintain a file containing documentation relevant to the SUP investigation. The SUP investigation number assigned by AVR-20 will be referred to in all tracking and correspondence. All files shall be maintained in accordance with Order 1350.15, Records Organization, Transfer, and Destruction Standards.

(4) Upon receipt of FAA Form 8120-12, the SUP Coordinator will determine which Action Office within their geographic area of responsibility will be assigned the investigation, and forward that information to AVR-20. If the SUP Coordinator and/or Action Office determine a change in assignment is necessary, the SUP Coordinator shall forward the change to AVR-20 on FAA Form 8120-12, and the originally assigned Action Office shall forward all information to the newly assigned SUP Coordinator.

(a) Upon receipt of the change, AVR-20 shall update the Official File.

(b) If the investigation is being reassigned because the Action Office has completed its investigation, refer to paragraph 15e for additional information.

SECTION 3. INVESTIGATION ACTION/OUTCOMES

13. INVESTIGATION PREPARATION. Upon receipt of FAA Form 8120-12, the Action Office should review the notification and determine if additional information is required. If additional information is needed, the reporter should be contacted directly (if known).

a. Conduct Preliminary Research. The assigned inspector should conduct a preliminary review of the available information and query other references which may be of assistance such as Service Difficulty Reports or Program Tracking and Reporting Sub-System (PTRS) records. Inspectors should additionally consider the type of operation, and previous activity when deciding whether to contact the party under investigation, or arrive at the site unannounced.

b. Develop an Investigation Plan. Before initiating an investigation, the inspector should consider the circumstances and nature of the allegation and determine if technical assistance, or coordination with other offices or LEA is required.

c. Coordinate Complex Investigations. A complex investigation involves more than one Action Office investigating a SUP at the same time and requires coordination. In order to ensure a thorough and organized investigation, it is necessary to conduct investigations in a timely manner and effectively utilize resources.

(1) It is desirable that a single "Lead" Action Office be established as a focal point for complex investigations. The "Lead" Action Office may be reassigned as the investigation progresses, and the remaining participants will be considered "support" Action Offices. All referrals and reassignments will be documented on FAA Form 8120-12 and forwarded to AVR-20.

(2) When a second Action Office is assigned to an investigation under the jurisdiction of the same SUP Coordinator, the SUP Coordinator and Action Offices shall determine the "Lead" Action Office for the investigation. The "Lead" Action Office will maintain the documents for the Official File, coordinate required efforts with LEA, and forward the required reports. The "support" Action Office(s) will forward the results of their investigation and supporting data to the "Lead" Action Office.

(3) When an Action Office in another Directorate and/or Region is added to an investigation, the SUP Coordinators will coordinate with AVR-20 to determine the "Lead" Action Office. This determination will be based on knowledge of the investigation, location of evidence, travel considerations, resources, and any other relevant factors.

14. INITIATE THE INVESTIGATION. Action Offices shall investigate reports to the extent necessary to determine if the SUP notification can be substantiated, or a violation of the CFR exists.

a. Determine Priority of Investigation. Investigations shall be prioritized based on the Part Criticality Category initially assigned by AVR-20.

(1) The investigation of a SUP assigned a *Category 1* must be initiated by the Action Office within *10 work days* upon receipt of the notification, and *Category 2 and 3* must be initiated by the Action Office within *30 calendar days* upon receipt of the notification.

(2) In accordance with the prescribed time frames, the Action Office shall confirm the information on the FAA Form 8120-12, amend it if required, and forward it with a transmittal memorandum the appropriate ACO requesting an *actual* Part Criticality determination. At this time, an updated/amended FAA Form 8120-12 shall be forwarded to AVR-20 through the SUP Coordinator.

Note: The Action Office shall proceed with their investigation while the ACO is determining the Part Criticality Category.

b. Verify SUP Allegation. The Action Office shall confirm the identity, quantity and location of the part(s), where they were manufactured and by whom, who participated in the production and/or distribution, what other parts were produced which may also be affected, how the parts were represented, and update FAA Form 8120-12 accordingly.

c. Determine If Criminal Activity Is Suspected. Criminal activity may be suspected if information discloses the part(s) were intentionally misrepresented (see definition of counterfeit parts in paragraph 6g).

(1) When the Action Office suspects criminal activity during the course of a SUP investigation, LEA should be contacted for support until such time as the safety risk determination is made and appropriately resolved. SUP Coordinators should make initial contact with appropriate local LEA regarding findings of criminal activities, and coordinate the investigations. Action Offices should directly communicate with the LEA for all subsequent communication and coordination. The investigating inspector shall keep their immediate supervisor, SUP Coordinator, and AVR-20 informed of the status of all SUP investigations involving criminal activity (providing restrictions have not been imposed which would prohibit the release of information).

(a) If an LEA has an ongoing investigation, or an interest in the new investigation; or the Action Office determines there is a need for the support of an LEA, due consideration must be given if the LEA requests that the FAA delay their investigation. First and foremost the investigator must determine that a delay will not compromise safety. All cases identified with a part criticality of Category 1 or Category 2 shall be investigated without delay unless otherwise authorized by AFS-1 or AIR-1, and AVR-20. AVR-20 shall obtain concurrence from the appropriate service director and coordinate the delay with the respective parties.

(b) If requested, the investigating inspector(s) may provide expert technical advice and support to the LEA, however FAA inspectors do not have the authority to collect evidence under the direction of the LEA for the LEA's use in criminal prosecution. Involvement in criminal investigations shall be limited to the scope of normal job functions. If FAA inspectors become involved in a Grand Jury investigation, FAA management must be informed within legal constraints. The Office of the Chief Counsel shall be contacted for guidance on all legal matters.

(2) Order 2150.3 should be referred to for additional guidance when criminal activity is suspected.

15. CONDUCTING THE INVESTIGATION. SUP *investigations* should not be confused with *inspections* that are performed in the course of routine work functions. Order 2150.3 shall be followed when conducting all investigations.

a. Scope. It is important to aviation safety that an Action Office immediately review all SUP reports to determine if there are safety issues which warrant immediate attention. The information on the initial FAA Form 8120-12 should be thoroughly evaluated to determine the scope of the investigation.

b. Timeliness. Investigations must be pursued in a timely manner to minimize the risk to safety, ensure that evidence can be obtained, and comply with the time frames applicable for enforcement proceedings. Delays for external cause, such as coordination of investigations with LEA, shall be recorded on the "investigation results" block of FAA Form 8120-12, and forwarded to AVR-20.

c. Securing Evidence. All phases of the investigation shall be conducted so as not to compromise potential evidence. Methods of investigations employed should take into consideration the necessity to secure evidence via photographs, copies of records, and witness statements. Parts which are provided to the inspector during the course of an investigation shall be accounted for as stated in paragraph 12b. SUP investigations are unique in that validating an allegation can often require the investigation of several parties, in numerous locations. It is imperative that accurate notes be taken and all evidence secured to enable appropriate enforcement action. Detailed narratives should be included on the FAA Form 8120-12 to document the scope of the investigation, and findings.

d. Investigative Depth. If a violation is not apparent in accordance with the information stated on the initial report, the investigation should not be terminated without considering other avenues of pursuit, as it is possible to disclose an underlying issue which could impact the situation in another capacity. If the party under investigation is not the actual source of the potential problem, information gathered shall be documented and the next course of action defined. To resolve SUP related issues, it is imperative that the part be traced to its source.

e. Transferring Investigations. Investigations will be transferred to another Action Office when the currently assigned Action Office has completed their investigation and/or determines that the investigation leads to another geographic area; or the evidence indicates the part(s) should be investigated by the other service (AFS or AIR). After the transfer is coordinated, the investigation file and all supporting documents shall be forwarded to the newly assigned Action Office.

(1) If the investigation is to be transferred to another Action Office under the jurisdiction of the same SUP Coordinator, the affected Coordinator and Action Offices should determine the manner in which the investigation file will be transferred. The SUP Coordinator shall update FAA Form 8120-12 with the corrected information and forward it to AVR-20.

(2) If the transfer is to another Region or Directorate, AVR-20 and the receiving SUP Coordinator should be contacted to facilitate the transfer of the investigation file. The SUP Coordinator for the Action Office forwarding the investigation shall update FAA Form 8120-12 and forward it to AVR-20.

f. Enforcement Action. When a SUP investigation discloses a violation of the CFR, an Enforcement Investigation Report (EIR) shall be initiated in accordance with FAA Order 2150.3, and the EIR number shall be recorded on FAA Form 8120-12. The Action Office should inform any LEA involved in the investigation when an EIR is being initiated.

g. Resistance/Conflict. In the event an investigation cannot be conducted due to resistance from the affected party, appropriate LEA should be contacted. If conflict arises during the course of an investigation, it should be resolved in a professional manner. FAA employees subjected to any type of threatening behavior (verbal, physical, or psychological) should remove themselves from the situation immediately and contact their office manager.

16. DETERMINE STATUS OF PARTS. The completion of a SUP investigation will result in a determination of the status of the part(s), and the next course of action defined. The outcome of SUP investigations which confirm parts do not meet the requirements of an “approved part”, *irrespective of whether or not the part can later be determined to be acceptable for installation on a TC product*, must clearly reflect that the FAA is addressing its responsibilities under The Compliance and Enforcement Program.

a. Part Is Determined To Be An “Approved Part.” If a part is determined to meet the requirements of an “approved part” in paragraph 6d, the details substantiating this determination shall be reported on FAA Form 8120-12 and maintained in the Official File.

b. Part Is Determined To Be Unapproved. If a part is determined to be unapproved (refer to definition in paragraph 6t), specific action may be taken to make a determination that the part meets the requirements to be acceptable for installation on a TC product.

(1) Parts found not to conform to the approved design/data may obtain the necessary approval to document the alteration (e.g; a Field Approval on FAA Form 337).

(2) Parts which were not produced under the authority of an FAA Production Approval (such as production overruns where the parts did not pass through an approved quality system) may demonstrate and document conformity to FAA-approved design data, by persons authorized to determine this conformity.

(3) Parts which have been maintained, rebuilt, altered, overhauled, or approved for return to service by persons not authorized to do so under parts 43 and/or 145 may be inspected as necessary, and approved for return service by an appropriately certificated person.

17. REMOVAL OF UNAPPROVED PARTS. SUP Program objectives necessitate the requirement to inform the aviation industry of the existence of unapproved parts, and the removal of these parts from the aircraft as soon as practicable. If an unapproved part cannot be determined to be acceptable for installation on an FAA TC product, it should be removed as outlined in the following paragraphs. *Operation* of an aircraft with unapproved parts installed may result in a violation of the applicable operating rule (e.g., part 91, 121, or 135).

a. Unapproved Parts Installed On Aircraft With An Approved Minimum Equipment List (MEL). Confirmed unapproved parts installed on aircraft may be considered inoperable, and deactivated in accordance with procedures outlined in the MEL or Configuration Deviation List (CDL), as applicable.

b. Unapproved Parts Installed On Aircraft Which Do Not Have An Approved MEL. Confirmed unapproved parts installed on aircraft which do not currently have an approved MEL should be removed as required by current policy, and regulations. Airworthiness inspectors should refer to Order 8300.10, Airworthiness Inspector’s Handbook, for additional guidance.

c. Unapproved Parts In Inventories. Unapproved parts located in inventories should be immediately removed or segregated to preclude inadvertent installation of the part. A procedure should be formally incorporated into existing manuals which outlines this process.

(1) Certificated air operators and/or agencies should develop a procedure acceptable to the FAA (if one does not presently exist) that would segregate and disposition these parts so as to prevent them from being installed on aircraft.

(2) Action Offices should encourage a written commitment from non-certificated entities identifying their plan for the segregation and disposition of the unapproved parts.

Note: Manufacturers and/or distributors associated with parts determined to be unapproved should be urged to notify the recipients of these parts.

18. REPORTING UNAPPROVED PARTS DISCOVERED DURING CERTIFICATION OR SURVEILLANCE. Unapproved parts referred to in this paragraph are those discovered during the course of routine work functions (by FAA personnel) which are *confirmed* to be unapproved, and do not require further investigation.

a. New Parts Contained Within A Quality Control System. New parts which are contained within the PAH or certificate holder's quality control system (not yet released), and are either *confirmed* to be unapproved, or SUP, are not required to be reported unless other parts produced in that same "batch" or "lot" have been shipped (escaped).

b. New Parts Which Have Been Shipped / Other Parts Approved For Return To Service. Parts which are *confirmed* to be unapproved, which have been maintained, repaired, rebuilt, overhauled, or altered, and are represented as having been "approved for return to service"; or new parts which are discovered outside of the quality system of the PAH or certificate holder, must be reported through the SUP reporting process.

(1) If parts are confirmed to be unapproved, FAA personnel shall complete FAA Form 8120-11 in its entirety, and forward it to AVR-20 through the SUP Coordinator. The following statements shall be included in Block 9 (description of event):

(a) The part(s) identified herein has/have been confirmed to be unapproved by the following means (describe why the parts do not meet the necessary requirements).

(b) Action taken to address this situation is as follows (describe how the responsible party is addressing the situation, and what action the FAA is taking).

Note: In order to make the determination that no further investigation is necessary, all parts must be accounted for and under positive control.

(2) SUP Coordinators shall review the description of events to ensure further investigation is not warranted, and forward the FAA Form 8120-11 to AVR-20. AVR-20 shall review the notification and establish an official record of the unapproved part being reported.

19. FIELD NOTIFICATIONS. FNs cover a broad range of mediums through which information regarding unapproved parts may be disseminated. FNs may take the form of an AD, direct mailing, Flight Standards Information Bulletin, an entry into a General Aviation Airworthiness Alerts publication, an entry into an issue of the Service Difficulty Reporting Summary, a Special Airworthiness Information Notice, a display on an Internet site or computer bulletin board, or any combination thereof. With the exception of ADs, the content of FNs is basically the same.

a. Airworthiness Directives. Based on the information discovered by the SUP investigation and/or any other relevant information, the Action Office shall contact the appropriate ACO for determination if an AD is warranted. The issuing ACO shall notify AVR-20 of all ADs resulting from an unapproved part.

b. Field Notifications other than ADs. If an AD is not warranted and it is determined that the aviation community should be advised of the unapproved part, an FN should be published. FNs may not be needed in situations where the unapproved part has been contained and control of the part(s) has been established, or will be established in the immediate future. The Action Office will determine if an FN is required and forward their recommendation to the SUP Coordinator. The SUP Coordinator will review the information and forward it to AVR-20 for concurrence.

(1) When preparing draft FNs, the Action Office is encouraged to contact the ACO responsible for the design approval of the affected part, and obtain the necessary technical input. The FN should then be forwarded, along with a recommended distribution list, to the SUP Coordinator who will review and forward it to AVR-20 for processing. The information contained in the FN must be factual and contain the following information as a minimum.

- (a) The specific aircraft and parts affected, including quantity.
- (b) A brief narrative describing who, what, when, where, and how; to include the name of the party responsible and/or accountable for introducing the unapproved part into the system.
- (c) A description of how the part can be traced.
- (d) A recommendation for part removal or segregation.
- (e) The address, telephone, and Fax number of the Action Office which will respond to public inquiries/responses.

Note: It is extremely important for the Action Office and the SUP Coordinators to verify that all information contained in the FN is technically accurate.

(2) FNs other than ADs are advisory and must not include mandatory corrective action, individual opinions, or reporting requirements. The FN must be for informational purposes and not imply that compliance is mandatory. Language that is clearly distinguished from the regulatory language used in ADs must be used. Words such as "must" and "shall", which require mandatory actions, are to be avoided. An FN must not be used to recommend product improvements as it could imply FAA approval of the recommended action. Appendix 3 includes a sample of a direct mail FN to be used as guide in developing a draft.

(3) AVR-20 will coordinate the draft FN with the Flight Standards Service Director, AFS-1, the Aircraft Certification Service Director, AIR-1, and the Office of the Chief Counsel, AGC-1 (or their designees), and/or any other office deemed appropriate. After concurrence, AVR-20 will determine the appropriate method to disseminate the information.

20. REOPENED INVESTIGATIONS. If it is deemed necessary to reopen an investigation, AVR-20 will reissue all letter(s) normally associated with the initiation of a new investigation, and an updated FAA Form 8120-12 indicating the reason for reopening the case. SUP investigation numbers will remain the same in these instances unless a determination has been made that a new SUP investigation number is more appropriate. All cross references to previous related investigations will be maintained by AVR-20. Reasons for reopening an investigation include the receipt of additional information, internal audits, requests made pursuant to FOIA or by the news media which reveal additional information to warrant further investigation, or any other reason deemed necessary by AVR-20, AFS, or AIR.

SECTION 4. REPORT PROCESSING/CASE CLOSURE

21. INVESTIGATION COMPLETED. FAA Form 8120-12 and supporting documents are forwarded to the SUP Coordinator when the Action Office is satisfied that the investigation is completed.

a. Verify Conditions - Unapproved Parts. Action Offices shall ensure unapproved parts have been reported, quarantined, removed from service (or scheduled), and an FN has been initiated, if necessary. Initiation of an AD or other draft FN, or an EIR may be sufficient grounds to request closing a SUP investigation if all other conditions have been met. A copy of the proposed FN or EIR number shall be included with the report. In all cases, it must be verified that a concurrent investigation is not underway by an LEA so as not to compromise an ongoing investigation.

b. Substantiate Findings For “Approved Parts.” If the investigation discloses confirmation that the SUP meets the criteria of an “approved part,” the narrative block of FAA Form 8120-12 should clearly outline the action taken which led to this determination. Detailed information to support this finding must be attached to the form (e.g., copy of PMA, or other information validating the part’s status).

c. Forward FAA Form 8120-12. All relevant portions of the form must be completed and contain accurate information when the case is recommended for closure. Attachments to FAA Form 8120-12 should include copies of all pertinent documents which were created or copied during the course of the investigation such as photographs, notes, documented interviews, records of telephone conversations and meetings, formal letters and memorandums, ADs or draft FN if issued, and the procedures implemented to remove the unapproved parts from the system.

(1) Action Offices shall forward FAA Form 8120-12 and necessary attachments to the SUP Coordinator, with a transmittal memorandum recommending the SUP investigation be closed. Appendix 4 contains a “Case Closure Guide” to be used as a reference. SUP Coordinators should review the complete file to confirm that all information required by this order is attached for inclusion in the Official File. Upon concurrence with the Action Office’s recommendation, the SUP Coordinator shall forward the completed FAA Form 8120-12 with all attachments to AVR-20.

(2) AVR-20 shall review the FAA Form 8120-12 and attachments presented for closure and notify the SUP Coordinator with a status determination. If it is determined that the case should remain open, or additional documentation is needed, AVR-20 shall provide the SUP Coordinator with a memorandum identifying justification to keep the investigation open. Unresolved differences impeding case closure shall be elevated to management as appropriate to achieve the necessary outcome.

22. FOIA REQUESTS. All requests for information under FOIA shall be coordinated with AVR-20 to ensure that the release of specific information will not compromise an ongoing investigation.

/S/

Margaret Gilligan
Deputy Associate Administrator for
Regulation and Certification

APPENDIX 1. SUSPECTED UNAPPROVED PARTS NOTIFICATION

OMB Approved:2120-0552

| SUSPECTED UNAPPROVED PARTS NOTIFICATION <small>To report multiple part numbers, please use continuation sheet</small> | | |
|---|---------------------------------------|---------------------------|
| 1. Date Part Was Discovered: | 2. Part Name: | |
| 3. Part Number: | 4. Part Serial Number: | |
| 5. Quantity: | 6. Assembly Name: Assembly Number: | 7. Aircraft Make & Model: |
| 8. Name, Address, and Description of Company or Person(s) Who Supplied or Repaired the Part Name: _____ Street Address: _____ City: _____ State: _____ Zip: _____ Country: _____ Phone Number: _____ <input type="checkbox"/> Manufacturer <input type="checkbox"/> Repair Station Cert # _____ <input type="checkbox"/> Supplier <input type="checkbox"/> Air Carrier # _____ <input type="checkbox"/> Distributor <input type="checkbox"/> Other _____ <input type="checkbox"/> FAA Production Approval Holder <input type="checkbox"/> Owner/Operator | | |
| 9. Description of Event: (Include why you think the part(s) is not approved.) <div style="height: 150px;"></div> | | |
| 10. Name and Location of Company or Person(s) Where Part Was Discovered: Name: _____ Street Address: _____ City: _____ State: _____ ZIP: _____ Country: _____ Phone Number: _____ <div style="text-align: center; font-weight: bold; font-size: small;">Check One of the Following Applicable to the Person Who Discovered the Part:</div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Air Carrier # _____ <input type="checkbox"/> Mechanic <input type="checkbox"/> Repair Station # _____ <input type="checkbox"/> FAA Inspector <input type="checkbox"/> Owner/Operator <input type="checkbox"/> DOT/Office of Inspector General <input type="checkbox"/> Distributor </div> <div style="width: 45%;"> <input type="checkbox"/> Defense Criminal Investigation Service <input type="checkbox"/> Production Approval Holder <input type="checkbox"/> Other Government Agency <input type="checkbox"/> Supplier <input type="checkbox"/> Foreign Civil Aviation Agency <input type="checkbox"/> Unknown <input type="checkbox"/> Other </div> </div> | | |
| 11. Date of This Report: _____ | | |
| 12. Name of Reporter: _____ Street Address: _____ City: _____ State: _____ ZIP: _____ Country: _____ Phone Number: _____ | | |
| 13. <input type="checkbox"/> Check here if you want your identity to be kept confidential. 14. <input type="checkbox"/> Check here if you <u>do not</u> wish to receive an acknowledgment letter. 15. <input type="checkbox"/> Check here if you have attached additional information. | | |

APPENDIX 1. FAA FORM 8120-11 INSTRUCTIONS

1. Record the date the suspect part was discovered.
2. Provide part name (i.e. nut, bolt, blade) or description of the suspected unapproved part.
3. Provide part number or identification number on part.
4. Provide serial number of part.
5. Provide quantity of suspect parts.
6. Provide the assembly name and assembly number (where the part was installed).

Example Part Name: BOLT

Part Number: PN 12345—installed on

Assembly Name: Main Landing Gear

Assembly Number: PN PG12389

Note: To report other part numbers use blank sheet of paper using following column headers:

Part Name—Part Number—Part Serial Number—Quantity—Assembly Name—Assembly Number

7. Identify what type of aircraft part was (or could be) installed on.
8. Provide complete name and address of the company or person(s) who last supplied or repaired the suspect part. Please do not provide PO Box address unless this is all you have. Check the appropriate box to designate the type of company. Please provide certificate number in space provided, if known.
9. Provide brief description of suspect part (discoloration, suspect marking, different material, etc.) and provide narrative why you feel the part is not approved. Provide as much detail as necessary to enable an inspector to determine the status of the part.
10. Provide complete name and address of company (or person) where the suspect part was found. Check the appropriate block to reflect the affiliation of the person/company who discovered the part.
11. Record the date the Form 8120-11 is being completed and submitted.
12. Provide name and address and phone number of the person who is reporting the suspect part. This information is necessary in case the FAA needs to get in touch with the reporter for more information.
13. If you want your name to remain confidential, please check this block.
14. If you do not wish to receive a letter acknowledging receipt of the Form 8120-11 by the FAA, please check this block.
15. If you have provided additional information, photos, parts listing, etc., please check this block.

The completed FAA Form 8120-11, Suspected Unapproved Parts Notification, should be forwarded to:

Federal Aviation Administration
SUP Program Office, AVR-20
45005 Aviation Drive, Suite 214
Dulles, Virginia 20166-7541

PHONE: (703) 661-0580 or FAX: (703) 661-0113

To obtain an electronic copy of Form 8120-11, visit SUP WebSite <http://www.faa.gov/avr/sups.htm>.
In addition, a completed electronic copy of the 8120-11 may be sent via that internet site.

This information is collected by the FAA's Suspected Unapproved Parts (SUP) Program and will be used to support SUP investigations and other summary management reports. Submission of this information is voluntary, with questions limited to reduce any burden to the reporter. Completion is estimated to take fewer than 15 minutes. Information collected is not available elsewhere and is vitally important to FAA's SUP Program and its commitment to remove the potential threat posed by unapproved parts from the aviation system. If requested, confidentiality of the reporter may be protected from disclosure under 5 USC 522(b)(6). Form 8120-11 is also available through the Internet/FEDWORLD or through the FAA at the above website. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. Use of this form is authorized under OMB control number 2120-0552.

APPENDIX 1. FAA FORM 8120-11 CONTINUATION SHEET

[illegible]

APPENDIX 2. FAA FORM 8120-12, SUSPECTED UNAPPROVED PARTS STATUS REPORT

| Case Start Date: | | Suspected Unapproved Part (SUP) Status Report | | Date of Report: | |
|---|-------|--|--------|--|--|
| 1. SUP Case # : | | 10. Case Status: <input type="checkbox"/> Open <input type="checkbox"/> Completed | | | |
| 2. Part Name: | | 11. Part Critically Category : <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | | | |
| 3. Part Number: | | 12. Action Office: | | | |
| 4. Part S/N: | | Aircraft Certification: | | | |
| 5. Part Model / Manufacturer: | | Flight Standards: | | | |
| 6. Next Higher Assembly : | | 13. Law Enforcement Involvement: <input type="checkbox"/> OIG <input type="checkbox"/> FAA Security <input type="checkbox"/> DCIS <input type="checkbox"/> FBI <input type="checkbox"/> Customs | | | |
| 7. Next Higher Assembly P/N: | | 14. Aircraft Group: <input type="checkbox"/> General <input type="checkbox"/> Commuter <input type="checkbox"/> Transport <input type="checkbox"/> Rotorcraft <input type="checkbox"/> Multiple | | | |
| 8. Application: <input type="checkbox"/> Airframe <input type="checkbox"/> Engine <input type="checkbox"/> Propeller <input type="checkbox"/> | | 15. Aircraft / Make / Model / Series: | | | |
| 9. Quantity: | | | | | |
| 16. Name & Address of Person / Company Under Investigation | | | | 18. SUP Reported By: | |
| Name: | | Phone: | | <input type="checkbox"/> PAH <input type="checkbox"/> Distributor <input type="checkbox"/> Supplier <input type="checkbox"/> CAA | |
| Address: | | | | <input type="checkbox"/> GAO <input type="checkbox"/> DCIS <input type="checkbox"/> Air Carrier <input type="checkbox"/> FAA | |
| | | | | <input type="checkbox"/> Repair Station <input type="checkbox"/> FAA Hotline <input type="checkbox"/> OIG | |
| City: | | State: | | <input type="checkbox"/> Owner/Operator <input type="checkbox"/> Mechanic <input type="checkbox"/> GIDEP | |
| ZIP: | | Country: | | <input type="checkbox"/> DOD <input type="checkbox"/> Other Government <input type="checkbox"/> Other | |
| <input type="checkbox"/> Noncertificated Producer <input type="checkbox"/> Noncertificated Maintenance Fac. <input type="checkbox"/> PAH <input type="checkbox"/> Supplier <input type="checkbox"/> Distributor <input type="checkbox"/> Foreign <input type="checkbox"/> Mechanic <input type="checkbox"/> Air Carrier <input type="checkbox"/> Owner Operator <input type="checkbox"/> Repair Station (Cert# _____) <input type="checkbox"/> Other | | | | 19. Date SUP Discovered: | |
| 17. Name & Address of the Physical Location Where the SUP Part Was Found | | | | 20. FAA Hotline Case Number: | |
| Name: | | Phone: | | 21. Reporter Anonymous: <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| Street Address: | | | | 22. Reported Confidential: <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| | | | | 23. FOIA Number: | |
| City: | | State: | | 24. Connecting Cases: | |
| ZIP: | | Country: | | <input type="checkbox"/> Additional Information: | |
| <input type="checkbox"/> Noncertificated Producer <input type="checkbox"/> Noncertificated Maintenance Fac. <input type="checkbox"/> PAH <input type="checkbox"/> Supplier <input type="checkbox"/> Distributor <input type="checkbox"/> Foreign <input type="checkbox"/> Mechanic <input type="checkbox"/> Air Carrier <input type="checkbox"/> Owner/Operator <input type="checkbox"/> Repair Station <input type="checkbox"/> (Cert # _____) <input type="checkbox"/> Other | | | | | |
| 25. Description of SUP Event / Complaint (Narrative) | | | | | |
| | | | | | |
| 26. Status Of Investigation: | | Date Referred: | | Date Completed / Reassigned: | |
| Investigation Organization: | | | | | |
| 27. Investigation Results: (Narrative) | | | | | |
| | | | | | |
| Investigation Results | | | | | |
| 28. Case Result: | | 30. Field Notifications: | | | |
| <input type="checkbox"/> Approved Part <input type="checkbox"/> Unapproved Part <input type="checkbox"/> Unable To Substantiate Allegation <input type="checkbox"/> Insufficient Information to Investigate | | Airworthiness Directive <input type="checkbox"/> Unapproved Part Notification <input type="checkbox"/> GAA <input type="checkbox"/> GAA Special Issue <input type="checkbox"/> FSAW Bulletin | | <input type="checkbox"/> SDR Summary <input type="checkbox"/> GIDEP <input type="checkbox"/> Bulletin Board Notification <input type="checkbox"/> Other | |
| 29. Unapproved Part Issue: | | 31. Enforcement Activity: | | | |
| <input type="checkbox"/> Counterfeit Part(s) <input type="checkbox"/> Nonconforming Part From Certified Repair / Facility <input type="checkbox"/> Non conforming Part From Production Approval Holder <input type="checkbox"/> Scrap Reintroduced to System <input type="checkbox"/> Foreign Part | | EIR Number _____ EIR Number _____ Other Action: (explain _____) | | | |
| 32. Investigation Completed :by name: | | Date: | Phone: | Routing Code: | |
| 33. Directorate / Regional Approval: Name: | | Date: | Phone: | Routing Code: | |
| 34. AVR-20 Review: | Name: | Name: | Name: | | |
| | Date | Date | Date: | | |
| 35. Total Hours For Investigation: | | | | | |

[illegible]

APPENDIX 2. FAA FORM 8120-12 INSTRUCTIONS

- | | |
|---|--|
| 1. SUP Case Number: Case Start Date: | Assigned by AVR-20. The case date generated by AVR-20. |
| 2. Part Name: | Identify the name of the part. When multiple parts are involved, add them to the second page. |
| 3. Part Number: | Part number or any other number on part. When multiple parts are involved, add them to the second page. |
| 4. Part Serial Number: | Serial number on part. |
| 5. Part Model/Manufacturer: | Manufacturer(s) part i.e., GE, Raytheon, etc. |
| 6. Next Higher Assembly: | The assembly the part is installed on. |
| 7. Next Higher Ass'y PN: | Part number of the assembly. |
| 8. Application: | Choose one application for the part. |
| 9. Quantity: | Report the quantity for each part. |
| 10. Case Status: | Reflects open/closed investigation. |
| 11. Part Criticality Category: | As defined in FAA Order #8120.10. |
| 12. Action Office: | Reflects the investigating office. |
| 13. Law Enforcement Involvement: | Indicate LEA involvement. |
| 14. Aircraft Group: | Choose the one that is most applicable for the part(s). |
| 15. Aircraft Make/Model/Series: | List all aircraft on which the unapproved part may be installed. |
| 16. Name & Address of Person/Co. Under Investigation: | This reflects the current focus of the investigation. The SUP investigator is to update/change as necessary. |
| 17. Name & Address of The Physical Location Where The Part Was Found: | Location where the SUP was found. |
| 18. SUP Reported By: | To be completed by AVR-20. |
| 19. Date SUP Discovered: | Reference block #10 on the FAA Form 8120-11. To be completed by AVR-20. |
| 20. FAA Hotline Case #: | Provide hotline number if applicable. |

APPENDIX 2. FAA FORM 8120-12 INSTRUCTIONS (Continued)

- | | |
|---|---|
| 21. Reporter Anonymous: | Reflects reporter is anonymous. To be completed by AVR-20. |
| 22. Reporter Confidential: | Reflects reporter desired to remain confidential. Reference block #13 on the FAA Form 8120-11. |
| 23. FOIA Number: | Provide FOIA request number if applicable. |
| 24. Connecting Cases: | Reflects common/connected cases. To be completed by AVR-20. Updated by investigator as necessary. |
| 25. Description of SUP Event/ Complaint (Narrative): | Describe SUP allegation. |
| 26. Status of Investigation: | Reflects status of investigation. |
| 27. Investigation Results (Narrative): | Write a short narrative to include results, findings etc. Continue on back of form and additional sheets as necessary. |
| 28. Case Result: | Applies to the case. If an unapproved part is confirmed during investigation the case closure will be reflected as unapproved part case. |
| 29. Unapproved Part Issue: | If it is an unapproved part case choose one that best fits the investigation outcome. |
| 30. Field Notifications: | Check all that apply to the case. |
| 31. Enforcement Activities: | Insert the enforcement investigative report number. |
| 32. Investigation Completed By: | Reflects the investigating Aviation Safety Inspector. |
| 33. Directorate/Regional Approval: | Signature of Manager or SUP Coordinator. |
| 34. AVR-20 Review: | Three AVR-20 staff personnel will sign. This reflects case closure. |
| 35. Total Hours For Investigation. | Record the current total number of hours used for the investigation (update as necessary) including investigators, support staff, SUP Coordinator, etc. |

APPENDIX 3. SAMPLE DRAFT FIELD NOTIFICATION**UNAPPROVED PARTS NOTIFICATION:**

No. 96-109b

August 5, 1996

AFFECTED AIRCRAFT: Navion (model unknown)**INTRODUCTION:**

The purpose of this notification is to advise all owners, operators, maintenance entities, and manufacturers of the above aircraft, of a part produced without FAA Production Approval.

BACKGROUND:

During a SUP investigation, it was discovered that XYZ Cable Swaging, Long Beach, CA, had produced cable assemblies utilizing data and terminal ends supplied by the XYZ Society, Lodi, CA. Neither company has an FAA Production Approval. The part numbers are:

6 each P/N 3909 Cable Assembly
6 each P/N 3910 Cable Assembly
6 each P/N 3915 Cable Assembly

The sales order from XYZ Swaging to the XYZ Society is dated July 5, 1995.

RECOMMENDATIONS:

Typed Certificated products are required to conform to their Type Design. Owners, operators, maintenance entities, and manufacturers should inspect their affected aircraft and/or stock for the referenced part number(s). Parts which cannot be traced to an approved source should be considered suspect and appropriate action taken.

Helicopter owners, operators, maintenance entities, and manufacturers should inspect all XYZ Helicopter main rotor blades identified as P/N 123-456-789-001, for evidence of unapproved alterations. Typical indications of an unapproved alteration is the number 250-0 etched into the butt of the main rotor blade when it bears a XYZ data plate, P/N 234-567-123-122. Other alterations may also be evident.

FURTHER INFORMATION:

The FAA Manufacturing Inspection District Office (MIDO), listed below, would appreciate any information that you could provide concerning the discovery of these parts from any source, the means used to identify the source, and the actions taken to remove them from aircraft and/or stock. This notice originated from the FAA Los Angeles MIDO, 3960 Paramount Blvd., Lakewood, CA 90712-4137; telephone (310) 627-5291, fax (310) 627-5319 and was published through the FAA Suspected Unapproved Parts Program Office, AVR-20; telephone (703) 661-0581, fax (703) 661-0113.

APPENDIX 4. FAA FORM 8120-13, SUP CASE CLOSURE GUIDE

| Suspected Unapproved Part (SUP) Case Closure Guide | Case # |
|---|--|
| Section 1 – Investigation This section shall be completed for all investigations prior to recommending the case for closure. Darken the applicable circle for each item. Record an explanation for any item with a “No” response, in the remarks section below (except # 12, 13, And 14.) | |
| <div style="display: flex; justify-content: space-between;"> Yes No </div> <div style="margin-top: 5px;"> <input type="checkbox"/> <input type="checkbox"/> 1. Is this case being recommended for closure at this time? <input type="checkbox"/> <input type="checkbox"/> 2. Is this case being transferred? <input type="checkbox"/> <input type="checkbox"/> 3. Are all applicable blocks on FAA Form 8120-12 complete, and the form signed? <input type="checkbox"/> <input type="checkbox"/> 4. Are complete and accurate names, addresses, and additional sources recorded for all parties involved? <input type="checkbox"/> <input type="checkbox"/> 5. Are all part numbers listed and verified as accurate? <input type="checkbox"/> <input type="checkbox"/> 6. Is the total quantity of parts listed (by individual part number if multiple parts)? <input type="checkbox"/> <input type="checkbox"/> 7. Does the investigation results block clearly identify “who,” “what,” “where,” “when,” and “why”? <input type="checkbox"/> <input type="checkbox"/> 8. Does the investigation results block clearly identify the action taken as a result of the findings? <input type="checkbox"/> <input type="checkbox"/> 9. Are necessary attachments contained in the case file, and referenced in the investigation results block? <input type="checkbox"/> <input type="checkbox"/> 10. Was the investigation coordinated with AIR/AFS as applicable? <input type="checkbox"/> <input type="checkbox"/> 11. Was the actual part criticality category determined by the ACO? <input type="checkbox"/> <input type="checkbox"/> 12. Did the investigation disclose the parts were approved? If so, attach copy of PMA, TSO, etc. <input type="checkbox"/> <input type="checkbox"/> 13. Were the LEA's involved? <input type="checkbox"/> <input type="checkbox"/> 14. Are there any outstanding issues, which need to be addressed? If yes, explain in remarks section below. </div> | |
| Remarks: <div style="height: 40px; border: 1px solid black;"></div> | |
| Section 2 – Unapproved Parts Complete this section if investigation results involved <i>unapproved parts</i> . | |
| <div style="display: flex; justify-content: space-between;"> Yes No </div> <div style="margin-top: 5px;"> <input type="checkbox"/> <input type="checkbox"/> 1. Is the party trying to seek approval for the parts? <input type="checkbox"/> <input type="checkbox"/> 2. Have you explained how the parts were located, secured, and/or removed on the 8120-12? <input type="checkbox"/> <input type="checkbox"/> 3. Is this an isolated case? Explain on the 8120-12 how this was determined. <input type="checkbox"/> <input type="checkbox"/> 4. Is an AD, Field Notification or company part recall being processed? If so, attach documentation. <input type="checkbox"/> <input type="checkbox"/> 5. Was a noncompliance found? <input type="checkbox"/> <input type="checkbox"/> 6. Was an EIR initiated, and the number(s) recorded on the 8120-12? </div> | |
| Inspector's Name: Date: | Signature: Office Identifier: |
| Manager/Supervisor Name: Date: | Signature: |
| SUP Coordinator's Name: Date: | Signature: |
| Remarks: <div style="height: 40px; border: 1px solid black;"></div> | |
| FAA Form 8120-13 02/02/2000 | |